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## ABSTRACT

A framework for the professional certification and preparation of principals is developed in this report. Contents include discussions of the context of school leadership, implications for school leaders, expanded leadership roles, suggestions for preparation programs, and principals' domains. Based on the premise that principal preparation programs have not kept pace with the changes in public schools, the proposed framework emphasizes inductive methodology, recognition of the realities of the workplace, examples of exemplary school programs, and study of emerging problems. Appendices include a list of contributors, taxonomy of principalship standards, national focus group participants, and information on the National Commission on Professional Standards for the Principalship. (LMI)

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# PRINCIPALS FOR OUR CHANGING SCHOOLS

## *Preparation and Certification*

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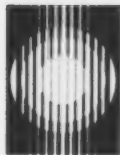
# **PRINCIPALS FOR OUR CHANGING SCHOOLS**

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**PREPARATION AND CERTIFICATION**

**National Commission for the Principalship**

**Sponsored by  
National Association of Secondary School Principals  
National Association of Elementary School Principals**



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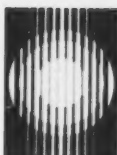
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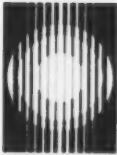


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## FOREWORD

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From the broad ranging debates on schooling today, a few areas of consensus can be found. One of these involves the principalship. Most observers agree that, (1) the principal plays a key role in determining school effectiveness, and (2) traditional preparation and state certification programs fail to anticipate the demands placed upon principals in our changing schools.

Convinced that these circumstances require a strong reform initiative, the NASSP and NAESP created the National Commission for the Principalship. The long range mission of the Commission is to explore development of a national certification process. In the short term, however, the Commission's purpose is to influence the preparation and state licensure of principals.

The two Associations agree that preparation programs should reflect primarily the real world of the operating school. Earlier theory-based constructs have become largely obsolescent, overcome by the flood of change engulfing schools. In their place new programs reflecting inductive analysis, realities of the workplace, and attention to the programs and operations of schools must be designed. *Principals For Our Changing Schools* defines the first step of that journey.

Our interest in the preparation of principals is long standing. The NAESP sponsors the Organization of Professors of Elementary School Administration, authors of a series of papers and publications including the recent *Principals for 21st Century Schools*. The NASSP sponsors the Professors of Secondary School Administrators and Supervisors, developers of a series of workshops and publications including the special report, *Performance-Based Preparation of Principals*.

The first joint effort of the two Associations, however, and the

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first publication to establish a framework for the professional certification of principals as well as the preparation of principals, is this statement.

We especially appreciate support of the National Commission and its mission by the Danforth Foundation and the Geraldine Rockefeller Dodge Foundation. Their funding of this project reflects a tradition of generous commitment to elementary and secondary education, and to the principalship. The Boards of Directors of the NASSP and NAESP provide strong backing to the Commission as well.

We also commend Scott D. Thomson, executive secretary of the Commission and author of our publication, and the many participants who helped to develop the performance domains.

This report recommends some new directions for preparing principals. It also reflects a conviction that principals today are expected first to be educators, and that being an educational leader requires special knowledge, skills and attributes which can be learned and are essential to job performance.

Given the critical role that schools play in an America and world dependent upon knowledge, improving the effectiveness of principals must be a national priority.

Timothy J. Dyer  
*Executive Director*  
*National Association*  
*of Secondary School*  
*Principals*

Samuel G. Sava  
*Executive Director*  
*National Association*  
*of Elementary School*  
*Principals*



## NEW EXPECTATIONS

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### PREPARATION AND CERTIFICATION

In 1989, the National Association of Secondary School Principals and the National Association of Elementary School Principals agreed to sponsor jointly the National Commission on the Principalship to redesign preparation programs and begin planning a national certification process.

The roots of this initiative come from a conviction that preparation programs have failed to move ahead with the times, and that most licensing requirements are unrelated to current job demands. Expectations for school leaders have changed dramatically during the 1980's as have the clientele attending schools. Yet, principals are still being prepared and licensed for the last decade, not for new times.

Moreover, preparation programs remain essentially unchanged from major reforms of the 1950's which generated a theory-based construct for programs in educational administration. This movement, funded by the W. K. Kellogg Foundation, included the formation of five regional centers to, "Explore the best means of defining and attacking problems of educational administration." The work of these centers culminated in the 1951 publication, *Providing and Improving Administrative Leadership for America's Schools*. Edited by Van Miller of Illinois and published by the University Council for Educational Administration, this report has influenced preparation programs for over a generation in tandem with a 1955 document entitled, *Better Teaching in School Administration*, authored by Truman Pierce for the Southern States Cooperative Program in Educational Administration.

Both reports brought new substance to the field, replacing the descriptive analysis approach of earlier times with deductive

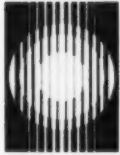
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theory and the behavioral sciences. Both reports identified problems and recommended solutions within the university context. Also, both publications addressed the preparation of superintendents under the assumption that individuals ready for district-wide leadership were also ready for school-site leadership.

Once established, these propositions about preparation programs demonstrated remarkable durability. Though revised and adjusted, the original framework has remained dominant for 30 years.

Meanwhile, by the 1980's, the tide of -public events had generated new expectations for schools and placed new demands upon school leaders. Theory and practice came unlinked. Schools and their environments were becoming changed places, distant from old frameworks for preparing educational leaders.

Recognizing this gap, the National Commission on Excellence in Educational Administration began in 1987 to examine the problem, joined by a growing volume of independent critics of the status quo. These reviewers agree that preparation programs require a major overhaul, particularly to reflect the changing circumstances of schools and their leaders. For example, inductive methods of analysis, recognition of the realities of the workplace, examination of exemplary programs and operations in schools, and study of emerging problems all can contribute to a new knowledge base for the principalship.



## **THE CONTEXT OF SCHOOL LEADERSHIP**

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Americans are aware of the globalization of business and the internationalization of telecommunications. Americans are less aware that these developments lead to the globalization of schooling.

Schools are directly affected by an era when transnational corporations finance projects, manufacture products, market goods, and recruit workers across sovereign boundaries. For example, some major American firms including the Hewlett-Packard Corporation now manufacture and market more goods overseas than in the United States. Conversely, the Honda Motor Corporation sometime in the 1990's expects to assemble and sell more automobiles here than in Japan. These accelerating trends bring new meaning to the term "Made in America."

American business once sent the graduates of American schools overseas to direct and guide their subsidiaries and branch offices. Now American business finds itself hiring a growing number of foreign nationals, people whom they must integrate at all levels in their firms to remain globally competitive. Thus are the skills and knowledge of Americans weighed against international standards; thus are graduates of American schools measured against a fresh yardstick. And thus are principals facing new challenges of leadership.

These circumstances do not mean that American schools must mirror French or Swiss or Japanese schools. The governance and organization and pedagogy of school systems will continue to vary across the globe. What these circumstances do mean is that outcomes must be comparable, that levels of student cognition and problem solving and knowledge and skills must meet international standards. Facing this new condition means that students from all schools, even from the most remote rural locations, will step into a world-wide workskills market. Ameri-

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can school systems, therefore, find their graduates face to face with the manpower market of the entire industrialized world.

As Robert Reich has pointed out, unskilled labor in a system of international free trade will ordinarily be performed where it can be done most cheaply, often overseas. That means fewer and poorer-paying jobs for unskilled Americans. Educated Americans, however, can remain competitive and will continue to command good salaries.

Demographic changes also place new demands upon American schools. A growing human diversity offers additional challenges to school leaders who must understand both the similarities and the differences among students and teachers and citizens. Despite obvious disparities in the educational and cultural and social backgrounds of students, schools must provide everyone with equal opportunity and consideration.

Demographics also affect the recruitment and employment of teachers, exposing a rapidly aging science faculty and the dearth of minority candidates entering teaching. Family demographics clearly affect schools; single parents and working mothers bring new expectations for services. Schools are the institutions that face first the impact of a changing demographic profile across the United States.

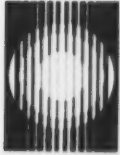
Technology, no less than demographics, is destiny. Never before have schools faced such rapid rates of technological change. Never before has technology so directly affected teaching and learning. Never before have schools been so challenged by alternative information delivery systems. Never before have students experienced instantaneous world-wide communications in the classroom.

Incorporating technology for instruction, evaluation, and management requires that school cultures develop a new alertness and flexibility. Some technologies will prove beneficial, others less so. The discerning school will know the difference. The discerning school also will train for the skills required to be technologically competent.

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Other dimensions of the changing environment affect schools as well. New methodologies appear as relentlessly as new technologies: new concepts of organization, of management, of work, of evaluation, and of productivity. At times it appears that rapid change is king, and all of us his subjects.



## IMPLICATIONS FOR ORGANIZATIONS AND LEADERS

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These new circumstances create unusual demands as well as exceptional opportunities for schools and their leaders. Schools must adopt new missions, structures, and relationships to meet the changing environment. A better utilization of resources, especially human talent and initiative, is required. Expectations will increase for small units to solve problems with minimal oversight. This approach, along with the constant of change will require maximum flexibility of organizations. Schools, therefore, must be agile to be competent. They also must be team oriented.

Under these conditions school leaders must possess the skills to manage change and to create collaborative action. This requires a full utilization of resources at all levels in the educational system, particularly within individual schools. Most centrally, therefore, the challenge for school leaders is to marshal local talent to identify and accomplish the mission of the changing, globally-driven school. Few principals are prepared for this formidable task.

Every educational reform report of the 1980's concludes that the United States cannot have excellent schools without excellent leaders. Leadership, therefore, can provide the key leverage to meet successfully major challenges facing the nation's schools. Clearly, the immediate task for our nation is to make certain that principals are competent for the changing school; that the new conditions facing school leaders are connected to redesigned programs for their preparation and certification. Today, those connections are incidental, even misaligned.

Traditionally, educational administration programs have focused more on abstract models to unify the field conceptually than on the changing context and functions of educational leaders. Yet, tomorrow's principals and superintendents must

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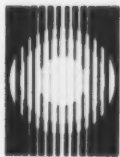
combine the skills of both the generalist and the specialist. They must be equally adroit at identifying and solving specific functional problems as well as facing broad issues.

The old scientific paradigms have become antiquated. Their perspectives must be combined with direct school observation and engagement. Practices need to be analyzed in action and research results tested directly in the life of the school. In this manner, theory can become realigned with practice.

School leaders today must be able to work with divergent groups and integrate their ideas to solve a continuous flow of problems. Principals will study their craft as they practice their craft, reflecting and then applying what they have learned to people and institutions and the achievement of tasks. This will require, "Patience for the long term, the development of judgment and wisdom, and the maintenance of technical and analytical skills. It will also demand sensitivities to other cultures and highly developed communications skills. Finally, it will require personal values that integrate the ethical dimensions of decision making with those of a more technical variety."<sup>1</sup> These conditions require an "outward looking," environmentally influenced vision of school leadership and movement away from the traditional inward looking, content dominated format. Defining the practice of leadership in contemporary school settings, identifying the knowledge and skills essential to effective practice, rejoining theory and practice, and designing a professional certification process to ensure adequate performance levels, all reflect a useful direction for the field.

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<sup>1</sup> *Leadership in a Changing World*, Graduate Management Admissions Council, Los Angeles, 1990.



## EXERCISING SCHOOL LEADERSHIP

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As demands grow upon schools for improved quality and broader services a new principalship emerges. No longer a manager of routines, principals need increasingly to take initiatives. They must understand change as well as manage change. They must build a group vision, develop quality educational programs, provide a positive instructional environment, apply evaluation processes, analyze and interpret outcomes, and maximize human resources. They also must stimulate public support and engage community leaders. Finally, they must assure that schools are persistent in getting students to understand the challenges they face, and what is required of them to compete on an equal footing in a global environment.

All this requires more than knowledge. It requires leadership; not ordinary leadership but astute leadership. Most centrally it requires effective leadership for the educational program. More than ever, principals are expected by the general public to ensure effective instruction.

Information increasingly drives the world economy and it equally drives today's schools. Americans want their students to become competent in the classroom, to learn how to communicate effectively, compute accurately, think critically, show initiative in solving problems, and reflect responsible attitudes. The public has a right to expect that all students acquire these skills and they become impatient when students fall short. Principals, therefore, must provide strong leadership to improve the quality of schooling and raise student achievement to new levels. No other school official carries this responsibility so centrally, neighborhood by neighborhood across the land.

Richard C. Wallace, Jr., Superintendent for the Pittsburgh, Pennsylvania, schools summarizes the expectation:

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Effective educational leaders articulate to constituents their vision of educational processes and outcomes. To do this educational leaders must have a sound and well integrated set of beliefs about what constitutes effective teaching and learning. The educational leader must be able to express those beliefs by describing actions that instructors and students engage in during the learning process. These beliefs must also be articulated as they relate to the outcomes of the learning process.<sup>2</sup>

Providing leadership for the instructional program requires more than a familiarity with teaching and learning. It also includes sophistication in assessment procedures, initiatives to promote and sustain staff development, an understanding of human growth and development, and provision for guidance programs and student activities.

While attention to the instructional program is the prime responsibility of principals, it does not constitute the sole responsibility. Schools function as living and breathing entities. Principals, therefore, must make certain that the organizational processes by which schools operate are vigorous and healthy and make the best use of people and their talents. Here in the realm of "making things work," changing circumstances hit especially hard against tradition. Leaders find themselves grappling with new tasks that require new processes to accomplish. As goals are formulated collectively, as direction is set and maintained with groups, as organizational procedures are developed jointly, principals must rely increasingly on competencies for which they have received little preparation.

Successful schools not only possess a shared vision, their staffs also share assumptions, operating procedures, and value norms. Achieving this state requires a process of persuasion and example by which the principal moves the group to pursue objectives along a common roadway.

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<sup>2</sup> *"Leadership in Schools,"* Prospectus, National Policy Board for Educational Administration, Fairfax, Virginia, 1990.

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Leadership under these circumstances involves first building the institution, then creating and maintaining useful procedures to keep the system functioning. It also requires competent coordinating, delegating, and reporting. Information must be shared, initiative and responsibility delegated, resources located, and conflicts resolved.

All this works best when leaders nurture in their constituents a capacity to engage in the leadership task. Since autocracy undermines initiative, building this capacity requires leaders who consult and listen and who respect and develop the human potentiality.

While this approach may appear exceedingly democratic, it provides leaders with untapped sources of human energy and talent. Thomas Jefferson has argued the general notion that all available talent should be enlisted to make institutions function effectively. "We hope," said Jefferson, "to avail the nation of those talents which nature has sown as liberally among the poor as the rich, but which perish without use if not sought and cultivated."

Effective principals go beyond accommodating the environmental context, providing instructional leadership, and recasting functional processes; they also cultivate strong interpersonal relationships. They heighten motivation and mutual trust among colleagues. They recognize the value of recognition and respect. They grant responsibility and delegate authority to increase vitality at lower levels of leadership.

John Gardner argues that when considering leadership, the heart of the matter is leader-constituent interaction. This view is sustained in two national studies of effective principals conducted by the National Association of Secondary School Principals. The one constant of able principals in a broad variety of settings was strong interpersonal relationships with colleagues and constituents.

Much depends on the level of trust in schools. Effective principals build and work at preserving high levels of trust among

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colleagues. They understand that cohesion and mutual tolerance allow schools to function effectively. Principals also understand that in a heterogeneous society, schools face a great tangle of motives from constituents. From this snarl they tap those that support the pursuit of broadly shared goals.

Just as dispersed leadership is critical to the vitality of schools and motivation of colleagues, so is clear communication the tie that binds close knit organizations together week by week. While this communication flows in all directions, principals must especially be competent in written and verbal delivery.

Communication is the prime instrument of the motivator. Principals, as motivators, must be reasonably effective in conveying and clarifying their views. Gardner considers these skills as critical: "If I had to name a single, all-purpose instrument of leadership it would be communication."<sup>3</sup>

As the social and political contexts within which schools operate become more pervasive, principals must understand these forces to accommodate and take advantage of them. Often these movements hit educational institutions first, requiring that school leaders be alert as well as knowledgeable.

All leadership positions possess a political dimension. All require action to manage conflict and resolve it when possible. All include the requirement for informed judgment, including those that prevent secondary conflicts from blocking progress toward primary goals.

These actions and judgments must be exercised with a broad understanding not only of the social sciences and school law, but also with a reasoned understanding of the role of education in a democratic society and with attention to ethical standards. They must also include sophistication with the media, especially the electronic media, which increasingly define the citizens' notion of reality in large communities.

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<sup>3</sup> John W. Gardner, *On Leadership*, The Free Press, New York, 1990.

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Particularly must principals move beyond traditional parental and lay relationships with schools, finding new ways for effective involvement of a citizenry increasingly aware of the centrality of schools to the economic health and social development of their community and the entire nation.

Thomas A. Shannon, Executive Director of the National School Boards Association, summarizes the need:

Principals are facing wholly new expectations. They are becoming more like mini-superintendents. The push for localism that contemplates significant educational and certain other school-related decision-making being done at the local school level on a cooperative basis with parents and teachers has rearranged the linkages between the principal and his or her school's parents, other school patrons and the increasingly influential local media. It is a relationship that is nurtured by, and thrives with, openness, candor, a collegial approach, mutual respect, and a well-founded impression that the principal is indeed possessed of substantive knowledge of educational theory and practice, who can communicate it plainly and persuasively. It is a new culture that demands new attitudes as well as new skills. These attributes must be developed in principals as they assume responsibilities for school site administration and deal with parents and teachers in a quasi-governance connection, rather than something akin to the doctor-patient relationship.<sup>4</sup>

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<sup>4</sup> Unpublished paper presented to the National Commission, October 1990.



## **PREPARING PRINCIPALS FOR OUR CHANGING SCHOOLS**

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Conditions for principals during the 1980's have changed more rapidly than have programs to prepare principals. Major environmental transformations created new expectations for schools as well as generated requirements for new organizational processes and structures.

Among these expectations were demands that student achievement match international standards, that schools assume responsibility for graduating higher percentages of students, and that operational structures be decentralized. Many principals were unprepared for these new circumstances. Some met the challenges admirably but the knowledge and skills required for success were largely learned the old-fashioned way, on the job and day by day.

The National Commission For The Principalship, recognizing a mismatch between preparation programs and job requirements, decided to develop a new framework for preparing principals based upon the realities of the workplace. While the social sciences would not be ignored, the new framework would focus upon programs and operations within today's changing school environment.

Inductive methodology would be employed to develop information about the contemporary school rather than relying upon traditional deductive approaches alone. The new knowledge base, therefore, would reflect the outcomes of a task analysis of the principalship as well as a conceptual model of the principalship. It would involve focus group processes as well as deductive analysis processes. And the primary data source would be principals, their immediate supervisors, and their immediate subordinates. This approach avoids looking exclusively through a theoretical lens so that the complexities of the situation become blurred.

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The central question addressed was this: What must principals do in today's changing school and what knowledge and skills are required to do it well?

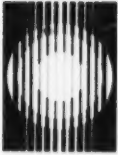
Guided by this theme, the National Commission for the Principalship began developing "performance domains" for the principalship. These domains define the scope of responsibility faced by principals and the knowledge and skills required to accomplish the tasks of the job.

Briefly, the developmental process utilized to develop the performance domains include:

- Conducting a task analysis of the principalship.
- Convening focus groups of [a] principals, [b] assistant principals, and [c] assistant superintendents to identify the knowledge and skills necessary to perform these tasks. These groups utilized a list of knowledge and skills consolidated from several sources for reference.
- Utilizing a conceptual model and "Taxonomy of Standards" for the principalship developed with the Principals' Center at Texas A&M to identify the knowledge and skills theoretically applicable to the role.
- Integrating the outcomes of the two approaches, one inductive and task driven and the other deductive and theoretically driven to develop an initial list of performance domains. A team of industrial psychologists at the University of Houston, led by professor Milt Hakel, assisted with this process.
- Distributing the initial list of domains to a national Jury of 50 which included prominent educators and a nominated group of principals, superintendents, and professors for their review and comment.
- Consolidating the recommendations of the Jury of 50 to develop a revised list of performance domains.

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- Receiving comment on the revised list from the Jury and making minor adjustments for the final definition of performance domains.

These 21 domains, organized into four areas, blend the traditional content-driven curricula with leadership and process skills to create a new framework for preparing principals. This framework recognizes the functional leadership skills and interpersonal competencies required of principals to succeed in today's school environment as well as the precedence of the educational program and the changing nature of the context within which schools live.



## PERFORMANCE DOMAINS OF THE PRINCIPALSHIP

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Principals provide leadership to schools along two dimensions. Exercising broad leadership, they influence school cultures by building a vision, stimulating innovation, and encouraging performance. Principals also exercise initiative in a more technical sense by the daily practice of functional leadership. They "make things happen" and ensure that the organization's tasks are accomplished.

Broad leadership requires more than utilizing the several performance domains simultaneously. As organizational cultures develop to meet challenges, as strategies for change are formulated, the principal selects from a generous palette of knowledge and experience and perspective to influence the direction of the school. Throughout the school year effective leaders mix and match proficiencies to shape the instructional climate, lift aspirations, and reduce environmental constraints.

Also important is functional leadership, defined here as a single but essential performance domain. Though narrow in scope, this dimension of leadership centers upon moving groups to accomplish tasks. This specific function, however, is distinct from the overarching dimensions of broad leadership that shape the quality and character of institutions.

### I. Functional Domains

These domains address the organizational processes and techniques by which the mission of the school is achieved. They provide for the educational program to be realized and allow the institution to function.

1. *Leadership*: Formulating goals with individuals or groups; initiating and maintaining direction with groups and guiding them to the accomplishment of tasks; setting priorities for

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one's school in the context of community and district priorities and student and staff needs; integrating own and others' ideas for task accomplishment; initiating and planning organizational change.

2. Information Collection: Gathering data, facts, and impressions from a variety of sources about students, parents, staff members, administrators, and community members; seeking knowledge about policies, rules, laws, precedents, or practices; managing the data flow; classifying and organizing information for use in decision making and monitoring.

3. Problem Analysis: Identifying the important elements of a problem situation by analyzing relevant information; framing problems; identifying possible causes; identifying additional needed information; framing and reframing possible solutions; exhibiting conceptual flexibility; assisting others to form reasoned opinions about problems and issues.

4. Judgment: Reaching logical conclusions and making high quality, timely decisions given the best available information.

5. Organizational Oversight: Planning and scheduling one's own and others' work so that resources are used appropriately, and short- and long-term priorities and goals are met; monitoring projects to meet deadlines.

6. Implementation: Making things happen; putting programs and plans into action; applying management technologies; applying methods of organizational change including collaborative processes; facilitating tasks; establishing progress checkpoints; considering alternative approaches; providing "mid-course" corrections when actual outcomes start to diverge from intended outcomes; adapting to new conditions.

7. Delegation: Assigning projects or tasks together with clear authority to accomplish them and responsibility for their timely and acceptable completion.

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## II. Programmatic Domains

These domains focus on the scope and framework of the educational program. They reflect the core technology of schools, instruction, and the related supporting services, developmental activities, and resource base.

8. Instructional Program: Envisioning and enabling instructional and auxiliary programs for the improvement of teaching and learning; recognizing the developmental needs of students; insuring appropriate instructional methods; designing positive learning experiences; accommodating differences in cognition and achievement; mobilizing the participation of appropriate people or groups to develop these programs and to establish a positive learning environment.

9. Curriculum Design: Interpreting school district curricula; planning and implementing with staff a framework for instruction; initiating needs analyses and monitoring social and technological developments as they affect curriculum; responding to international content levels; adjusting content as needs and conditions change.

10. Student Guidance and Development: Providing for student guidance, counseling, and auxiliary services; utilizing community organizations; responding to family needs; enlisting the participation of appropriate people and groups to design and conduct these programs and to connect schooling with plans for adult life; planning for a comprehensive program of student activities.

11. Staff Development: Identifying with participants the professional needs of individuals and groups; planning and organizing programs to improve staff effectiveness; supervising individuals and groups; engaging staff and others to plan and participate in recruitment and development; initiating self-development.

12. Measurement and Evaluation: Determining what diagnostic information is needed about students, staff, and the school environment; examining the extent to which outcomes meet or

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exceed previously defined standards, goals, or priorities for individuals or groups; drawing inferences for program revisions; interpreting measurements or evaluations for others; relating programs to desired outcomes; developing equivalent measures of competence.

13. Resource Allocation: Planning and developing the budget with appropriate staff; seeking, allocating, and adjusting fiscal, human, and material resources; utilizing the physical plant; monitoring resource use and reporting results.

### III. Interpersonal Domains

These domains recognize the significance of interpersonal connections in schools. They acknowledge the critical value of human relationships to the satisfaction of personal and professional goals, and to the achievement of organizational purpose.

14. Motivating Others: Building commitment to a course of action; creating and channeling the energy of self and others; planning and encouraging participation; supporting innovation; recognizing and rewarding effective performance; providing coaching, guidance, or correction for performance that needs improvement; serving as a role model.

15. Sensitivity: Perceiving the needs and concerns of others; dealing with others tactfully; working with others in emotionally stressful situations or in conflict; managing conflict; obtaining feedback; recognizing multi-cultural sensibilities.

16. Oral Expression: Making oral presentations that are clear and easy to understand; clarifying and restating questions; responding, reviewing, and summarizing for groups; utilizing appropriate communicative aids; adapting for audiences.

17. Written Expression: Expressing ideas clearly in writing; writing appropriately for different audiences such as students, teachers, and parents; preparing brief memoranda.

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#### IV. Contextual Domains

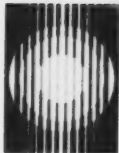
These domains reflect the world of ideas and forces within which the school operates. They explore the intellectual, ethical, cultural, economic, political, and governmental influences upon schools, including traditional and emerging perspectives.

18. *Philosophical and Cultural Values*: Acting with a reasoned understanding of the role of education in a democratic society and in accord with accepted ethical standards; recognizing philosophical and historical influences in education; reflecting an understanding of American culture, including current social and economic issues related to education; recognizing global influences on students and society.

19. *Legal and Regulatory Applications*: Acting in accordance with relevant laws, rules, and policies; recognizing governmental influences on education; working within local rules, procedures, and directives; administering contracts.

20. *Policy and Political Influences*: Identifying relationships between public policy and education; recognizing policy issues; examining and affecting policies individually and through professional and public groups; relating policy initiatives to the welfare of students; addressing ethical issues.

21. *Public and Media Relationships*: Developing common perceptions about school issues; interacting with parental and community opinion leaders; understanding and responding skillfully to the electronic and printed news media; initiating and reporting news through appropriate channels; enlisting public participation; recognizing and providing for market segments.



## STRENGTHENING PRACTICE

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These domains relate directly to the challenges facing school leaders. They provide the framework for a new knowledge base to prepare principals, one that recognizes the centrality of instruction and the requirements of decentralized structures for informed functional and interpersonal leadership.

Some critics of the status quo assert that the content of most preparation programs in educational leadership today has remarkably little to do with either education or leadership. The new performance domains place education and leadership at center stage.

Still, the question must be asked; can the knowledge and behavior of principals affect student learning? If the principals are knowledgeable educators with sophisticated leadership skills, will it make a difference in student outcomes?

If the bottom line for schools is student learning and attitude building as measurable outcomes, principals can make a difference. A growing body of evidence suggests that principals influence the quality of student outcomes by developing with staff a school mission that focuses upon instruction. The principal also influences the school's instructional climate by the quality of interaction with teachers and students, and shapes the culture for learning by building norms and initiating organizational procedures that attend to teaching and learning.

Principals who possess the knowledge, skills, and values to frame school cultures with an instructional focus become a significant mediating variable for improving instructional outcomes. They affect the instructional climate, which in turn provides an environment that stimulates student learning.

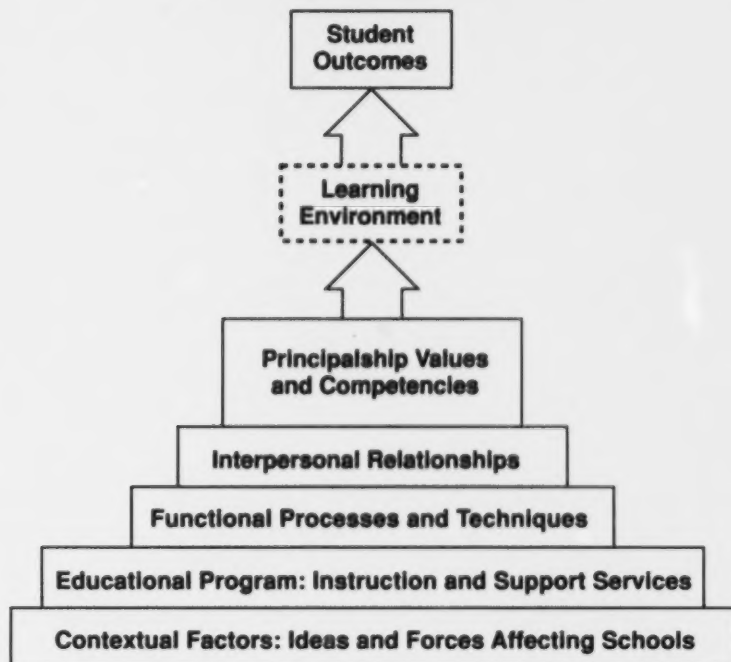
A preparation program based upon the performance domains

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can provide principals with the knowledge and skills necessary to build a strong instructional environment in a decentralized school setting. Presented graphically, the relationship of preparation to student outcomes would be:

## Leadership for Student Outcomes

Framework for Preparing Principals to  
Influence the Learning Environment

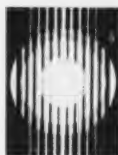


Traditional programs, on the other hand, tend to emphasize first the content driven foundation courses, followed by preparation in certain technical areas such as school law, finance, supervision, and measurement. Clinical practice may or may not be required in traditionally oriented programs. When included, it often is scheduled after the completion of course work. Clinical experiences, however, should be interwoven with content learning throughout preparation programs. Little attention typically is directed to leadership development, to the

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instructional program, or to management processes in traditional preparation programs as well.

Being theory driven and discipline based, traditional programs make assumptions about the usefulness to principals of certain knowledge constructs that are unproven in practice. Good arguments can be made, in fact, that other professional schools including law and medicine do not subsidize base-line content areas at advanced levels of preparation. Rather, other professions generally require knowledge of appropriate disciplines along with an assessment of cognitive capacities as a prerequisite of admission. The professional development curriculum then focuses upon acquiring certain knowledge and skills directly applicable to practice, and upon demonstrations of the knowledge and skills in clinical settings.



## NEXT STEPS

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Specialists in each of the 21 performance domains are being commissioned to define the knowledge and skills essential to informed practice within the boundaries of the separate domains. These definitions will be intensive rather than extensive; they will focus on identifying core concepts and proficiencies in each area. A more extensive coverage can be developed by various users according to local conditions, priorities, and requirements.

Some writers for the Commission will include descriptions of recommended delivery systems for acquiring the desired knowledge and skills, including clinical exercises and other methodologies proven effective for adult learners.

When completed, these materials will identify a new knowledge base for the principalship—one that fits the demands of today's schools. They will be published in a sister document entitled, *Principals for Our Changing Schools: The Knowledge Base*, scheduled for May 1991.

The Commission will also begin defining performance standards for the knowledge and skills identified for each domain. In some instances, these performance standards will be developed by teams concurrently with the definition of the essential knowledge and skills. In other instances they will be developed sequentially.

Specialists in the interpersonal domains will propose techniques to identify skills as well as to instruct and practice skills.



## RELATIONSHIPS TO PREPARATION, LICENSURE, AND CERTIFICATION

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Colleges and universities may find these publications useful as a catalyst to discuss current programs, as the framework for an alternative preparation program, or as a guideline for revamping current curricula and delivery systems.

State credentialing commissions and agencies may wish to review current requirements against these recommendations, or establish an alternative route to licensure based upon the domains, or prepare new mainstream licensure standards that apply some or all of the knowledge base outlined here. Action to establish new standards for state credentialing may be particularly appropriate according to recent recommendations of the National Governors' Association.

The inadequacy of programs to prepare principals and school superintendents is widely acknowledged; current programs offer administrators little grounding either in cognition and learning or in modern principles of leadership and management. Working with education, business, and community leaders, states must design a system for licensure based on what school administrators will need in order to lead, manage and succeed in a restructured school system.<sup>5</sup>

The National Policy Board for Educational Administration will review and consider the domains as the knowledge base leading to a national certification process for the principalship governed by a national certification board.

The National Policy Board and the National Commission for the Principalship may jointly enter partnerships with colleges or state agencies interested in applying the domains to strengthen preparation and licensing programs.

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<sup>5</sup> *Educating America: State Strategies For Achieving The National Education Goals*, National Governors' Association, Washington, DC, July 1990.



## DEVELOPMENTAL DESIGN

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The performance domains were developed utilizing both inductive and deductive methodologies as described above, followed by a national jury review and comment, and a re-jury review and comment.

The national Jury of 50 are listed in appendix "A."

The deductive model utilized was from the "Taxonomy of Standards for the Principalship" developed by David Erlandson and colleagues at the Principals' Center at Texas A&M, a three dimensional model involving seven substantive areas, six functions, and three roles. The model is enclosed as appendix "B."

The identification of tasks was developed utilizing a national sampling of principals. This task list turned out to be surprisingly comparable to a 1982 task analysis conducted by Neal Schmitt, a professor of psychology at Michigan State University, for the NASSP Assessment Center. Both analyses utilized three dimensions of task engagement: (1) task importance, (2) task frequency, and (3) task delegation. The 17 page, 158 item task list is available from the National Commission Office.

Three national focus groups, one each of principals, assistant superintendents, and assistant principals utilized a consolidated inventory of knowledge, skills, and abilities required to accomplish the tasks of the principalship. This list included 85 areas of knowledge, skills and abilities: The focus groups determined that only 20 of the 85 areas could be considered as "essential" to the principalship. Focus group participants are identified in appendix "C." They include both sexes and are racially mixed.

The National Commission of Professional Standards for the Principalship is listed in appendix "D."

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## APPENDIX A: NATIONAL JURY OF 50

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### DEVELOPMENT OF PERFORMANCE DOMAINS

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**Dr. Ernest L. Boyer**

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Carnegie Foundation for  
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Princeton, NJ

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*Assistant Superintendent*  
Dade County Schools  
Miami, FL

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*Professor*

Educational Administration  
University of Wisconsin  
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**Dr. James L. Doud**

*Professor*

University of Northern Iowa  
Cedar Rapids, IA

**Dr. Kermit Buckner**

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**Dr. Albert Edgemon**

*Chair*

Department of  
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College of Education  
University of Houston  
Houston, TX

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Office of Research and  
Educational Research  
Improvement  
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Lakeland Catholic Board  
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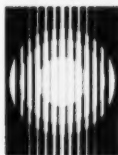
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## APPENDIX B: TAXONOMY OF STANDARDS FOR THE PRINCIPALSHIP

Taxonomy of Standards for the Principalsip

|                           |                                |                |               |                |
|---------------------------|--------------------------------|----------------|---------------|----------------|
| SUBSTANTIVE AREAS/TARGETS | GOVERNMENT/LEGAL/POLICY        |                |               |                |
|                           | AUXILIARY SERVICES             |                |               |                |
|                           | STUDENT AFFAIRS                |                |               |                |
|                           | PARENT/COMMUNITY RELATIONS     |                |               |                |
|                           | BUSINESS/FINANCE               |                |               |                |
|                           | PROFESSIONAL PERSONNEL         |                |               |                |
|                           | INSTRUCTION                    |                |               |                |
|                           | EDUCATIONAL PROGRAM/CURRICULUM |                |               |                |
| FUNCTIONS                 | FORECASTING/PLANNING           |                |               |                |
|                           | TRAINING/DEVELOPMENT           |                |               |                |
|                           | PERSUASION                     |                |               |                |
|                           | INFLUENCE/CONTROL              |                |               |                |
|                           | TECHNICAL/PROFESSIONALISM      |                |               |                |
|                           | ADMINISTRATION                 |                |               |                |
|                           |                                | MOTIVATOR ROLE | DIRECTOR ROLE | EVALUATOR ROLE |

### FUNCTIONS AND ROLES OF THE MANAGEMENT PROFILE

#### MANAGERIAL FUNCTIONS

The managerial functions are those activities in which managers engage in their daily operating roles.

**Forecasting and Planning:** The principal sustains a vision for the school and projects its path into the future. This function is evidenced by the principal's actions in structuring future activities that will alter personnel relationships, the nature of work required, and the procedures for doing so. The principal must specify goals, objectives, paths, and milestones and must

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plan for strategies to meet them. Above all, the principal must specify goals, objectives, paths, and milestones and must plan for strategies to meet them. Above all, the principal must define the group's worth in future activities.

**Training and Development:** This function has two facets to it. One might be labeled the formal organizational training and development program and the other, the principal's faculty and staff developmental efforts. The former is usually dictated by state mandate and district policy and is more structured and less variable in nature in that training courses are specified and structured by such criteria as subject area, grade level taught, etc. The less formal staff development performed by the principal is usually tailored to each member of the faculty and staff and reflects the principal's own style and personality. Training and development are, in short, a combination of organization training and personal experience provided or shaped by the principal.

**Persuasion:** The principal serves as a spokesperson for the school. In performing this function, the principal "sells" the school to the superintendent and board, parents, the community, and other professionals. In addition, the principal persuades teachers and school staff to follow the district's and the school's goals. A related activity is the quest for talent and the recruitment of teachers in the sense of selling the school as a good place to work. In essence, this function may be summarized as one of convincing others by words or actions to accept or act in harmony with the principal's wishes.

**Influence and Control:** This managerial dimension involves exerting direct influence over others. As the one formally at the head of the schools the principal states the goal and indicates the person responsible for accomplishing it. As the person in authority, the principal does not need to justify actions or the purpose of why a particular action is desired. Related to this is influencing others from a position of recognized authority. Although this influence might be participative, rather than in a direct manner, the principal is still using organizational authority to accomplish a job.

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**Technical Professional Interaction:** This function can best be thought of as expertise or knowledge in some area of content. Although the principal may not be the most competent in the school in any specific area of content, he/she must have a level of expertise that enables him/her to be seen as a person who has the necessary credentials, including education and experience, and is perceived in the school as one who could perform effectively as a classroom teacher.

**Administration:** This function refers to the many activities required of a principal by organizational rules and regulations. The filling out of forms, the scheduling or coordinating of specific events, the specification of various topics by memo, the response to requests in the administrative sense, are all examples of such activities. Included in this function is also the skill of dealing with or reacting to the information, requests, and demands coming across the principal's desk continuously.

#### LEADERSHIP ROLES

Factors embodied in this dimension are interwoven throughout the managerial functions. Although defined, each of these relational factors are only observable within the specific managerial functions.

**Motivator:** This factor is best defined as arousal or energizing. The principal establishes a pace and engenders enthusiasm. The target is moved to action. The target feels a necessity to become involved. It should be noted that nothing about the direction of the target's activity is mentioned. The motivational aspect of the principal's role is to excite and arouse. It implies nothing about direction-that comes with the director classification.

**Director:** The principal is the goal setter and definer of direction. The direction or goal, as set in the director dimension, can appear within any of the managerial functions. Thus, the principal can set a technical goal, a direction in planning, or an aim in training and development. The managerial functions are simply defined as activities that operationalize the director factor. Thus, the use of the reward system to achieve a goal, or

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the ordering of a specific act, is to play out a management function to accomplish an end that was set within the director role.

**Evaluator:** The principal is a combination of sensor and assessor. The principal scans information on people, resources, influence strategies, avenues of action, and policies and makes appraisals of them in relation to the operation of the school.

#### SUBSTANTIVE AREAS

**Educational Program/Curriculum:** Educational program plans/designs are policy documents generated by district personnel and approved by school boards from which curriculum and instruction are derived. Curriculum represents the tools, methods, and materials that are used to implement programs.

**Instruction:** Instruction refers to the interactions of teachers and students, under the aegis of the school, with the purpose of imparting knowledge and skills. Instruction requires the shaping of learning environments, learning sequences, and teaching strategies by the professional staff of the school.

**Professional Personnel:** Professional Personnel entails the recruitment, selection, assignment, orientation, evaluation, motivation, and retention of professional staff.

**Business/Finance:** Business/Finance is the management of the school's financial resources.

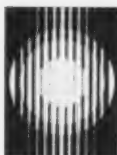
**Parent/Community Relations:** Parent/community relations refer to the sum of interactions between the principal (or representative) and spokespersons who represent concerns external to the official school organization.

**Student Affairs:** Student activities are those programs, functions, and events through which students may explore or extend personal interests and abilities beyond formal course offerings and which contribute to a total education and to the well-being of the school.

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**Auxiliary Services:** Auxiliary services are those services performed by the school which are in addition to and indirectly related to the instructional program. These include transportation services, attendance services, cafeteria services, etc. These areas are related to classroom instruction as they support the teacher in attaining the goals of the educational program.

**Government/Legal/Policy:** The Government/Legal/Policy domain includes the interaction between the school and the political system in which it is located, including the school's patrons and legally constituted bodies and authorities.



## NATIONAL FOCUS GROUPS

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## NATIONAL COMMISSION ON PROFESSIONAL STANDARDS FOR THE PRINCIPALSHIP

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The National Commission on Professional Standards for the Principalship was formed in 1986 by the NASSP. The Commission from 1986-1989 defined the issues, objectives, and processes leading to the development of the performance domains.

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**James W. Keefe**, NASSP (ad hoc)

National Commission for the Principalship

Sponsored by

National Association of Secondary School Principals  
National Association of Elementary School Principals

Affiliated with

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